



Important note: *To be completed with reference to the Reporting Guidance Notes for Project Leaders: it is expected that this report will be about 10 pages in length, excluding annexes*

Submission Deadline: 30th April 2017

IWT Challenge Fund Project Information

Project reference	IWT 020
Project title	Strengthening local community engagement in combating illegal wildlife trade
Country/ies	Kenya
Contract holder Institution	IUCN Eastern and Southern Africa Regional Office
Partner institution(s)	IUCN SSC CEESP Sustainable Use and Livelihoods Specialist Group (SuLi), IUCN SSC African Elephant Specialist Group, IIED, Kenya Wildlife Conservancies Association, Cottars Safari Service, Big Life Foundation
IWT grant value	£ 218,666
Start/end dates of project	1 st April 2016/30 th March 2018
Reporting period (e.g. April 2016-Mar 2017) and number (e.g. Annual Report 1,2,3)	April 2016-Mar 2017 Annual Report 1
Project leader name	Leo Niskanen
Project website	https://www.iucn.org/regions/eastern-and-southern-africa
Report author(s) and date	Leo Niskanen, Dilys Roe, Holly Dublin, Dickson Ole Kaelo, Rosie Cooney, Diane Skinner, Antony Kasanga, Calvin Cottar

1. Project rationale

In Kenya, as in many other African countries, IWT is a serious conservation challenge. Kenya is not only a source for elephant ivory but also a transit hotspot. As in many other countries, Kenyan strategies for addressing IWT have to date placed far greater emphasis on intensified state-led law enforcement than on community engagement approaches. However, available evidence internationally suggests that local community support and participation is an essential pre-condition for the fight against IWT to succeed in the long term.

In Kenya several interesting NGO-, private sector- and community-based initiatives are beginning to show some success in engaging communities in anti-poaching, mitigating human-wildlife conflict and generating livelihood improvements. Examples include conservancies supported by the Big Life Foundation and Cottar's Safari Services (both partners in this project). These initiatives are largely occurring outside of formal protected areas and provide critical connectivity and space for the seasonal movements of Kenya's elephant populations. However, many of these initiatives have been developed in isolation on a somewhat *ad hoc* "trial and error" basis often without a clear theory of change (ToC) and limited collection and dissemination of lessons learned that could help inform policy and practice elsewhere.

This project is intended to address this problem by testing and adapting a dynamic ToC, developed by IUCN's CEESP/SSC Sustainable Use and Livelihoods Specialist Group and other partners, that provides a framework for understanding how communities can best combat IWT in different contexts. The project has adopted an action research approach, directly

engaging stakeholders in reviewing and refining the ToC and the assumptions which underpin it according to their own experiences.

The current project is particularly focused on the poaching of African elephants and illegal trade in ivory and is expected to help strengthen anti-IWT interventions in Kenya, and beyond, thus making a valuable contribution to the conservation of the species. The lessons learned and guidance generated will be documented and widely disseminated in the form of case studies and tools to provide guidance for communities, practitioners and policy-makers. This guidance is also expected to be useful for improving strategies and interventions aimed at combating IWT in other species in high value trade.

IUCN and partners are testing the ToC at two pilot sites the Olderkesi Conservancy adjacent to the Masai Mara National Reserve (see Figure 1 below) and the Kilitome Conservancy in the Greater Amboseli Ecosystem (Figure 2). Close to the Kenya-Tanzania border, these areas are rich in wildlife and important for tourism harbouring important populations of “the big five” species (African elephant, black rhinoceros, leopard, lion and African buffalo) as well as many other iconic and threatened species. The communities living in and around these conservancies are from the Maasai ethnic community who still lead a predominantly pastoral/agro-pastoral lifestyle although some of the communities are rapidly becoming more agricultural and increasingly urbanised. Both the Olderkesi and Kilitome communities are partners and shareholders in their respective conservancies. In the case of Olderkesi, the Conservancy has only recently been formed with support from Cottar’s Wildlife Conservation Trust (CWCT) – a non-profit arm of Cottar’s Safari Service. Kilitome Conservancy was established in 2008 by the African Wildlife Foundation (AWF) and 100 Maasai landowners in partnership with an eco-tourism facility, Tawi Lodge, which has entered into a formal lease agreement. Big Life Foundation manages the Kilitome Community Scout Programme, which is financed by AWF. Draft case studies and site-specific theories of change have been developed for both pilot sites. Details are discussed in later sections of this report.

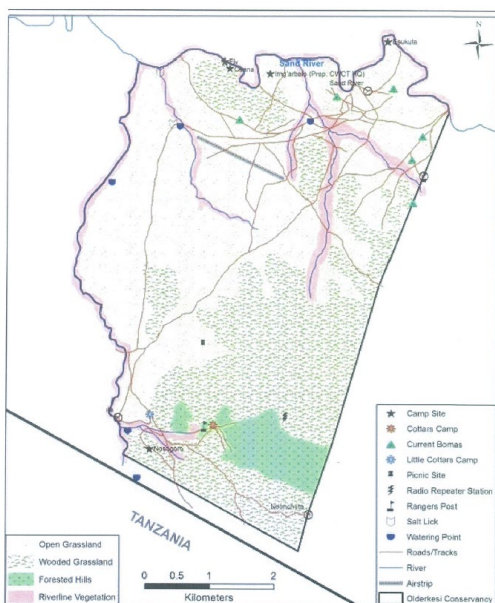


Figure 1 Olderkesi Conservancy

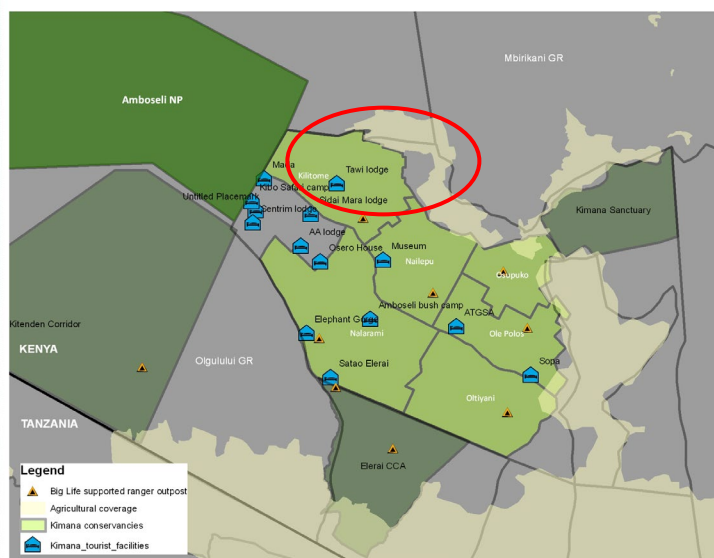


Figure 2 Kilitome Conservancy (indicated by red circle)

The first year of this project has demonstrated “proof of concept” for the approach developed by IUCN and partners and has confirmed its value as a means of informing new and existing projects to tighten/modify and implement their respective ToCs for better engagement of communities as first line of defence against IWT.

2. Project partnerships

IUCN CEESP/SSC’s Sustainable Use and Livelihoods Specialist Group (SULi). SULi (through its members Dr Holly Dublin, Dr Dilys Roe, Ms Diane Skinner and Dr Rosie Cooney) have actively participated in the project since its design. They were part of the team that

developed the original Beyond Enforcement ToC on which this project builds. SULi has been involved with IUCN ESARO in the development of the project tools and methodology and supported the fieldwork. They have also worked closely with IUCN ESARO on the evolution of the ToC and helped facilitate the project inception workshop. They attended and facilitated the workshops to share lessons with and to learn additional insights from the Olderkesi and Kilitome conservancy stakeholders and the KWCA network of conservancies. They have also helped review and comment on the draft Kilitome and Olderkesi case studies. The inception workshop report can be found on:

https://www.iucn.org/sites/dev/files/content/documents/report_inception_workshop.pdf The Kilitome-Olderkesi and KWCA workshop reports can be found on:

https://www.iucn.org/sites/dev/files/content/documents/olderkesi_kilitome_workshop_summary_report_final.pdf

https://www.iucn.org/sites/dev/files/content/documents/kwca_summary_workshop_report_final.pdf respectively.

In addition, SULi organised, facilitated and supported a number of international workshops and events at which information was disseminated about the project and its objectives, including the following:

1. A special side event session with UNDP at the 66th meeting of the CITES Standing Committee. Geneva in January 2016 at which Dr Holly Dublin gave a presentation to share information about the methodological framework and approach
2. Presentation about the rationale, objectives and methodological framework for this work given by Dr Holly Dublin at the IUCN SSC African Rhino Specialist Group in Kruger National Park, South Africa, in February 2016
3. Presentation by Dr Holly Dublin about the project rationale and objectives at the Save Wildlife conference at the Hague in March 2016. At this workshop SULi also facilitated the discussions of an ad-hoc working group on sustainable livelihoods and economic development – “Catalyzing Action: Engaging communities in the battle against Illegal Wildlife Trade”. A “wildlife deal” (i.e. a commitment to work together towards common objectives) was also developed involving IUCN ESARO, CSS and SORALO “to formulate Rules of Engagement that ensure that clear principles are followed when working with communities, including respecting their rights, ensuring accountability and acknowledging costs of living with wildlife”. For more details see report <https://www.savewildlife.nl/documents/reports/2016/08/30/final-report-wildlife-deals-for-wildlife>
4. Workshop session on strengthening community engagement against IWT for 11 recipients of funding from the World Bank GEF Global Wildlife Programme in Nairobi, Kenya, in May 2016
5. A workshop on Communities and IWT convened by SULi, Convention on Migratory Species, UNDP and other partners at the World Conservation Congress http://www.cms.int/sites/default/files/iucn_world_congress_flyer_ver24Aug2016_2.pdf
6. Joint event with IUCN ESARO at the 17th Conference of the Parties to CITES (COP 17) <https://www.iucn.org/news/species/201610/iucn-event-stimulates-debate-about-role-communities-first-line-defence-against-illegal-wildlife-trade>
7. A side-event on the theme of Communities and Combating Illegal Wildlife Trade convened by SULi and partners in Hanoi, Vietnam, during the inter-governmental high level IWT Conference, incorporating insights from the project; <https://www.iucn.org/commissions/commission-environmental-economic-and-social-policy/our-work/specialist-group-sustainable-use-and-livelihoods-suli/events/beyond-enforcement-workshop-hanoi-viet-nam-15-16-november-2016>

IIED. Dr Dilys Roe (also a member of the SULi Steering Committee) was involved in the development of the original Beyond Enforcement ToC and has been closely involved in the subsequent evolution of the project methodology and tools. She participated in the research activities at the Olderkesi pilot site and is helping with the drafting of a case study for that site. She also helped facilitate and present results from research at the Olderkesi-Kilitome workshop and the KWCA network meeting – see links to reports in the previous section.

IUCN SSC African Elephant Specialist Group (AfESG). Dr Holly Dublin, who is also the chair of the AfESG, has participated in her capacity as member of SULi and its Steering Committee as outlined above. She has also advised on all relevant aspects relating to the conservation of African elephants and the illegal trade in ivory.

Kenya Wildlife Conservancies Association (KWCA). Dickson Ole Kaelo, Chief Executive Officer at KWCA attended the project inception workshop and contributed to the revised post-workshop ToC, which the project is testing at the pilot sites. He also facilitated the community consultations at the two pilot sites. Dickson and his team helped to convene and facilitate a consultation with 35 conservancies in the KWCA network – see links to reports in the previous section.

Cottar's Safari Services (CSS) attended the project inception workshop and contributed to the revised post-workshop ToC, which the project is testing at the pilot sites. Mr Cottar and his staff participated as key informants in the interviews at the Olderkesi site and he and his team assisted with logistics for the Olderkesi field visit. CSC staff also attended the Olderkesi-Kilitome joint lesson-learning workshop and the KWCA network meeting – see links to reports in the previous section.

Big Life Foundation (BLF) attended the project inception workshop and contributed to the revised post-workshop ToC, which the project is testing at the pilot sites. BLF staff also participated as key informants in the interviews to test the initial framework ToC at Kilitome, and also assisted with logistics and organisation of other key informant interviews and community consultations at Kilitome. BLF helped organise and participated in the Olderkesi-Kilitome joint lesson-learning workshop.

Local communities and local institutions have been involved as key participants in the action research process. The communities have been extremely engaged in this process participating in highly interactive series of discussions, participatory exercises and one-on-one interviews.

In addition, although not part of the original group of formal partners, the following organisations have been involved in the design and/or implementation of the project activities:

- **Royal Roads University.** Dr Wendy Roe, an expert on Action Research, joined the team to advise on methodological aspects. She attended the inception workshop, assisted with the research at the Kilitome pilot site and supported the writing of the draft case study.
- **African Wildlife Foundation (AWF).** AWF was involved as one of the founding organisations of the Kilitome Conservancy. They have contributed as key informants to the project, and also attended the Olderkesi-Kilitome lesson learning workshop to validate the findings from the field work.
- **Southern Rift Landowners Association (SORALO).** In early 2016 IUCN ESARO held discussions with the leadership of SORALO who expressed an interest in testing the ToC at one of their conservancies - the Shompole-Olkiramatian group ranch. The addition of this site provides opportunities for additional lesson learning. SORALO attended the inception workshop and contributed to the post-inception ToC. In January 2017 IUCN ESARO successfully raised an additional US\$227,580 from the US Department of Interior International Technical Assistance Programme to extend the project to include this third site. This is expected to further strengthen the evidence base and to build on the momentum achieved by this project.

3. Project progress

3.1 Progress in carrying out project Activities

Output 1: Case Studies

Activity 1.1 Methodology developed and logistical arrangements completed. The project methodology follows the principles of Action Research and has developed a number of qualitative research methods to test the causal pathways and assumptions of the framework ToC at each study site. These include the use of a situation analysis tool adopted from a Community Based Natural Resource Management tool developed by WWF in Namibia, and a series of community meeting tools and techniques using exercises adapted from more

traditional Participatory Rural Appraisal, as well as key informant interviews. The methodology includes the collection of an agreed set of quantitative indicator data where available.

Logistical arrangements for all the workshops and field visits were completed on time.

Activity 1.2 Inception workshop conducted. The inception workshop took place on the 27th and 28th of May 2017 at the IUCN ESARO offices in Nairobi Kenya. It was well attended by all the project partners. The workshop was designed to familiarise the participants with the TOC approach, help explain and experiment with the proposed methodology, understand the local context at the project pilot sites and to develop a methodological framework and work plan to guide the next stages in the project. The workshop was also used to test the initial framework ToC based on the specific contexts of the individual pilot sites. For a detailed report on the inception workshop, please see

https://www.iucn.org/sites/dev/files/content/documents/report_inception_workshop.pdf

Activity 1.3 Interviews and focus group discussions conducted at first case study site.

The activity was conducted from the 22nd to the 25th of August 2016 at the Kilitome Conservancy (changed from Satao Elerai to the Kilitome Conservancy on advice from the project partners, BLF). The main research team included Wendy Rowe, Dickson Ole Kaelo and Leo Niskanen. The team carried out interviews with key informants and conducted focus group discussions and participatory exercises with the key community focus groups: elders, women and youth using action research methodologies. The main purpose of the research was to understand: (1) the community's and project designers ToCs, (2) how the pathways and key assumptions differed from the initial IUCN framework ToC (3) the key lessons learned on community engagement in the fight against IWT. The findings from the research have been documented in a draft case study (which is still being finalised). A summary of key findings is documented in the Olderkesi-Kilitome workshop report –see:

https://www.iucn.org/sites/dev/files/content/documents/olderkesi_kilitome_workshop_summary_report_final.pdf

Activity 1.4 Presentation of objectives, methods and preliminary findings presented at the World Conservation Congress in September 2016.

On the 5th of September 2016, Holly Dublin and Rosie Cooney of IUCN CEESP/SSC's SULi, in collaboration with the Convention on Migratory Species (CMS) and other partners, organised a special event on the side lines of the World Conservation Congress titled "*Empowering Local Communities to Combat Poaching and Illegal Wildlife Trade - What Works and Why?*"

http://www.cms.int/sites/default/files/iucn_world_congress_flyer_ver24Aug2016_2.pdf.

Although it was too early to disseminate lessons learned, the objectives and methodological framework of this project were shared at this event and garnered support from staff of the CMS and CITES Secretariats.

Activity 1.5 Fieldwork at second case study site. The research team (Holly Dublin, Dilys Roe, Leo Niskanen & Dickson ole Kaelo) visited the Olderkesi Conservancy from the 13th to the 16th of October 2016. The team carried out interviews with key informants and conducted focus group discussions and participatory exercises with the key community focus groups: elders, women and youth using action research methodologies. The main purpose of the research was to understand: (1) the community's and conservation partner's ToCs (2) how the pathways and key assumptions differed from the IUCN framework ToC (3) the key lessons learned on community engagement in the fight against IWT. The findings from the research have been documented in a draft case study (still being finalised) and summarised in the Olderkesi-Kilitome workshop report found on

https://www.iucn.org/sites/dev/files/content/documents/olderkesi_kilitome_workshop_summary_report_final.pdf

Activity 1.6 Case study analysis and report writing. Draft case studies have been developed for both conservancies. These discuss the site-specific ToCs and how these differ from the initial IUCN framework ToC. Key lessons learned from community engagement at these sites are discussed. The case studies are currently being finalised incorporating feedback received during the February 2017 workshop with both conservancies to validate results and compare findings (see Output 2 below). Preliminary findings are summarised in the workshop reports referred to above.

Output 2: Revised Theory of Change

Activity 2.1 Meeting conducted to compare findings from two case studies. This workshop took place from the 27th to the 28th of February at the AA Lodge near Amboseli NP, bringing together key stakeholders from the Olderkesi and Kilitome conservancies. This workshop validated the findings and helped share lessons learned from the research carried out at the two conservancies. For more details please see workshop report available on: https://www.iucn.org/sites/dev/files/content/documents/olderkesi_kilitome_workshop_summary_report_final.pdf

Activity 2.2 Workshop carried out with KWCA members to collect additional experiences from other conservancy sites and identify key policy recommendations. This workshop took place at the CORAT Africa Conference Centre in Nairobi on the 1st and 2nd of March. This workshop with the wider KWCA network provided a valuable opportunity to draw in comparable experiences from a wide range of conservancy settings and involving different species in the IWT. It also helped to identify critical opportunities and strategies for influencing policy to better support community conservancies in their wildlife stewardship efforts. For more details please see workshop report available on: https://www.iucn.org/sites/dev/files/content/documents/kwca_summary_workshop_report_final.pdf

Activity 2.3 Comparison of experience with project in Zimbabwe (provided the project "Incentives and disincentives: combating IWT in the southeast Lowveld, Zimbabwe" proposed to IWTCF funded). This proposal was not funded by the IWTCF and therefore the activity was not carried out.

Activity 2.4 Analysis of experience and revision of ToC. The research carried out at site level and subsequent data analysis has enabled the team to develop site-specific ToCs. These are discussed in detail in the case studies currently being finalised. Key elements of these theories of change and how they differ from the post-inception workshop ToC are discussed in the workshop reports referred to above.

Output 3: Guidance documents. This work is ongoing. In addition to documenting practical and policy guidance on effective community engagement against IWT, the team is working on a comprehensive toolkit for conducting action research in a consistent and comparable manner across communities and geographies. This will be disseminated widely to encourage uptake of the methodologies by others interested in carrying out this kind of work in Kenya and beyond, with the intent of strengthening community-based interventions to combat IWT.

3.2 Progress towards project Outputs

Output 1: Case Studies. This output is on track. The results of the fieldwork (Indicators 1.1 and 1.2) are summarised in the workshop reports – see links to reports provided above - and discussed in detailed in the case studies (Indicator 1.3). The case studies are already in advanced draft form pending final refinement to incorporate feedback from the validation workshops held at the end of February. The case studies are expected to be finalised by the middle of 2017.

Output 2: Revised Theory of Change. This output is on track. The project has adopted an iterative learning process, which is guiding the revision of the ToC. This is a dynamic process where the ToC has been modified at each stage in the project: pre-inception workshop ToC (initial IUCN framework ToC), post-inception workshop ToC, Kilitome Conservancy ToC and the Olderkesi Conservancy ToC. This project has therefore generated multiple ToCs in addition to modifying the overarching conceptual framework ToC which was the starting point for this project. The conservancy-specific ToCs represent “mind maps” of what the conservation partners/project designers/implementers and the communities perceive to be the critical causal pathways and key assumptions with regard to strengthening community engagement in the fight against IWT. The differences and similarities in the views and perceptions of the communities and the conservation partners/project designers/implementers have been analysed and discussed with the stakeholders. This has helped identify strengths and weaknesses in current strategies and approaches. Analysis of these site-specific ToCs has also served to validate the relevance and relative importance of the four main pathways in the

initial IUCN framework ToC, while also highlighting key differences at the activity, output and expected outcome and impact levels. The different iterations of the ToC and the key lessons emerging from this work have been shared with the stakeholders from the two conservancies as well as the broader membership of KWCA (Indicators 2.1 and 2.2) – see https://www.iucn.org/sites/dev/files/content/documents/kwca_summary_workshop_report_final.pdf and will be disseminated more widely once the case studies have been finalised.

Output 3: Guidance documents. This output is on track as discussed above.

3.3 Progress towards the project Outcome

The outcome for this project is: *“The conditions for stronger engagement of local communities to combat - rather than participate in - IWT in African elephants while positively contributing to local livelihoods is better understood and forms the basis of practical guidance for anti-IWT policy and programme development in Kenya (and beyond).”*

The project has made good progress towards this outcome: Indicator 1 has been achieved (see links to summary workshop reports discussed above). Indicators 2 and 3 are well on track towards completion.

The project outcome remains valid and it is expected that this outcome will be achieved at the end of the project. This will be derived from the lessons learned from the two pilot sites and the broader consultations with the KWCA as documented in the case studies and guidance documents.

3.4 Monitoring of assumptions

Outcome: The conditions for stronger engagement of local communities to combat - rather than participate in - IWT in African elephants while positively contributing to local livelihoods is better understood and forms the basis of practical guidance for anti-IWT policy and programme development in Kenya (and beyond).

Assumption 1: Useful lessons can be learned from the case studies. This assumption remains valid. Useful lessons are emerging and are being documented in the case studies and being put into practice in the lifetime of the project. Many of these are discussed in the conservancy and KWCA workshop reports (see links to reports provided above)

Assumption 2: The lessons learned from the Kenyan case studies and the ToC lend themselves to the development of practical guidance that has broader applicability. This assumption remains valid. While some lessons will be site specific and national (e.g. those relating to the cultural attributes of the Maasai and the Kenya Wildlife Act) a number of the key enabling conditions, successful activities at site level, and constraints to successful community engagement (e.g. proper land use planning, retaliatory killing of wildlife due to human-wildlife conflict, importance of transparency in revenue sharing and balancing costs and benefits) will be applicable beyond Kenya.

Assumption 3: The guidance, once developed, is useful to IWT policy makers and programme makers and influences their decisions. This assumption still holds. The lack of effective guidance remains a major gap that this project is expected to help to fill.

Output 1: Case Studies

Assumption 1 Case study project partners continue to stay engaged with project and community representatives in each case study site are willing to provide information. This assumption remains valid as stated. The project partners and communities have been extremely collaborative and contributed the information needed for the case studies. New relationships have been established and longstanding partnerships strengthened and this is expected to continue to the end of the project and beyond.

Output 2: Revised Theory of Change

Assumption 2 Causal pathways can be determined from the case studies and other conservancy experiences and a robust ToC agreed. This assumption has held. The causal

pathways and key assumptions have been determined and used to construct site-specific ToCs. These ToCs have been validated by the stakeholders. More experiences have been collected from other conservancies. The continued relevance of the four pathways in the initial IUCN framework ToC as a starting point for all subsequent ToCs has been validated.

Output 3: Guidance documents

Assumption 3. The lessons learned from the Kenyan case studies and the ToC lend themselves to the development of practical guidance that has broad applicability. This is expected to hold as discussed under Outcome level Assumption 2.

4. Impact: achievement of positive impact on illegal wildlife trade and poverty alleviation

The original impact statement in our proposal was as follows: *More effective and widespread community engagement in tackling IWT resulting in reduction in pressure on African elephant populations and increased benefits from improved wildlife stewardship.*

The project is contributing to this impact by improving the understanding of the conditions and key factors behind successful and unsuccessful engagement of local communities as the first line of defence in combating IWT. This remains a major gap in most strategies to combat illegal killing of elephants and other high value species in the IWT. The project is documenting and disseminating key lessons learned and guidance to help improve policy and practice for more successful anti-IWT strategies. It is also developing a toolkit for effective community engagement in developing site-specific ToCs that will be disseminated widely to encourage uptake by practitioners and project/programme designers thus further multiplying impacts of this project beyond its lifetime. Furthermore, the project approach has been adopted by and will be further tested and refined in a new USAID Southern Africa Combating Wildlife Crime programme in which IUCN and partners are participating.

The lessons learned and recommendations from this research aim to contribute to improving livelihoods and wellbeing of local communities. The project is contributing to higher level impacts on human development and wellbeing in a number of ways e.g. by shedding more light on the need for communities to receive sufficient benefits (both financial and non-financial/tangible and intangible) from wildlife (Pathway B of the ToC) and assessing whether such benefits are effectively and equitably shared. It is critically examining the potential of alternative non-wildlife based livelihood strategies and seeking to understand the link between such development activities and reduced poaching pressure on elephants (Pathway D of the ToC). It is drawing more attention to the tangible and intangible costs of living with elephants and other wildlife making recommendations on how such costs could be reduced and pointing out key policy issues needed to address the wildlife-induced costs to local communities (Pathway C of the ToC).

5. Project support to the IWT Challenge Fund Objectives and commitments under the London Declaration and Kasane Statement

The project is making a contribution to Objective 1. *Developing sustainable livelihoods for communities affected by illegal wildlife trade.* It does so by conducting research into the key factors that motivate communities to act as either poachers or protectors of wildlife. Much of this is centred on achieving a balance between the tangible and intangible benefits that communities receive and perceive from wildlife versus the costs of living with wildlife. Where costs continue to exceed benefits communities are much more likely to participate directly or indirectly in killing of wildlife. This logic is central to causal pathways B, C and D of the ToC, which have been validated through the activities carried out in this project. The project is actively drawing out lessons highlighting the importance and challenges involved in developing sustainable livelihoods for communities affected by IWT in order to better balance the costs and benefits of living with wildlife.

The project is directly contributing to the following commitments of the Kasane Statement:

10. *Promote the retention of benefits from wildlife resources by local people where they have traditional and/or legal rights over these resources.* This is consistent with Pathway B of the ToC and is linked to the above discussion about the need for benefits to accrue to the communities bearing the costs of living with wildlife.

11. *Support work done in countries to address the challenges that people, in particular rural populations, can face in living and coexisting with wildlife, with the goal of building conservation constituencies and promoting sustainable development.* Pathway C predicts that reducing costs of living with wildlife will reduce the motivation to poach. Recommendations are emerging on the need for more effective amelioration of this problem through more proactive spatial analysis to underpin land-use planning and, thereby, maintain long-term support of local communities.

12. *Establish, facilitate and support information-sharing mechanisms, within country, regionally, and internationally, designed with, for and targeted at local people and practitioners, to develop knowledge, expertise and best practice in practical experience of involving local people in managing wildlife resources, and in action to tackle the illegal wildlife trade.* The project as a whole (its rationale, expected outputs and outcome) aims to contribute to this outcome and has already achieved growing awareness through broad and proactive dissemination of information about the approach and the lessons being learned in this “proof of concept” phase.

13. *Support work by countries and intergovernmental organisations, as well as non-governmental organisations, that seeks to identify the situations where, and the mechanisms by which, actions at the local level, including with community groups, can reduce the illegal wildlife trade.* The project as a whole (its rationale, expected outputs and outcome) aims at contributing to this outcome. Sharing of this process and the lessons being learned to the greatest extent possible with governments, intergovernmental organisations and NGOs is already making a notable contribution, demonstrated through the growing interest being expressed with regard to this approach.

It also supports the following commitments of the London Declaration:

XVIII - Recognise the negative impact of illegal wildlife trade on sustainable livelihoods and economic development.

XIX - Increase capacity of local communities to pursue sustainable livelihood opportunities and eradicate poverty.

XIX. Initiate or strengthen collaborative partnerships among local, regional, national and international development and conservation agencies to enhance support for community led wildlife conservation and to promote retention of benefits by local communities for the conservation and sustainable management of wildlife, including actions to reduce illegal use of fauna and flora.

XX. Work with, and include local communities in, establishing monitoring and law enforcement networks in areas surrounding wildlife.

6. Impact on species in focus

The pilot conservancies, Olderkesi and Kilitome, have resident elephant populations and are important corridor and dispersal areas that are used by elephants from the Masai Mara-Serengeti and Greater Amboseli ecosystems respectively. While elephant poaching for ivory is not currently considered a major problem in these areas, the research is showing how the continuation of the currently successful community scouts and informer programmes depends on sustainable financing mechanisms that can maintain these law enforcement efforts. Insights are emerging on the importance of land use planning to secure elephant habitat and managing human-elephant conflicts without which elephants are likely to be displaced or killed even in the absence of any IWT. Maasai communities transitioning to more sedentary agricultural lifestyles are increasingly coming into conflict with elephants and are becoming less tolerant as evidenced by incidents of elephants being killed or injured in the Kilitome area in retaliation for injuring or killing people, destroying property or damaging crops. Communities co-existing with elephants elsewhere in Kenya, and other parts of the region, are experiencing similar challenges. Whether or not these challenges can be resolved is likely to determine the future of

the species. Therefore the project is expected to contribute lessons and guidance that is not only useful for elephant management and conservation at the pilot sites but also elsewhere in Kenya and in the broader region.

7. Project support to poverty alleviation

The expected beneficiaries of this project are mainly poor Maasai communities. The project is expected to benefit them in a number of ways:

- 1) The research has increased the understanding of the motivations of local communities to help protect wildlife from IWT. Many of these revolve around the expectation of a stream of benefits from wildlife-based land use that the communities believe will contribute to their livelihoods and wellbeing.
- 2) The research has helped to highlight how other non-wildlife based livelihoods, particularly agriculture and livestock rearing (including a transition from the more traditional, extensive cattle ranching practices of the Maasai to more intensive sheep and goat production to feed a growing market for meat with rapid urbanisation), need to be managed carefully and holistically across the landscape through effective land use planning to ensure that these areas are developed in a manner that continues to support elephants and other wildlife while maximising livelihood opportunities for the local communities.
- 3) The research is showing that well trained and equipped local community scouts can be an effective first line of defence, which enjoy the support of communities and work well with state-led law enforcement authorities. These programmes provide badly needed jobs to young men who might otherwise be tempted to engage in IWT. However these programmes currently depend exclusively on external donor funds and tourism revenues, which need to be supplemented by more durable financing mechanisms to ensure their sustainability.
- 4) The research has revealed how the costs of living with wildlife, including elephants, are significant and erode community support for wildlife protection. There is little effort from the national wildlife authority to help mitigate these conflicts even in cases where people are killed by wildlife. Conversely, when communities take matters into their own hands and kill wild animals the reaction from the wildlife authorities is swift and often harsh, often prompting communities to feel that the lives of wild animals are valued more than human lives. This research is highlighting the need to address these impacts on local communities as a key priority for maintaining and strengthening community engagement in combating IWT.

This project has directly engaged with local communities on these issues, which are of major importance to their livelihoods in order to make sure that their voices are heard, their perspectives are understood and that these become central to the recommendations and guidance generated by this project. It is expected that the project will influence the re-design of current interventions and the initial design future interventions to become more receptive to local community concerns and effectively to proactively seek the views of local communities. The project partners have clearly expressed a keen willingness to work towards adopting strategies and approaches that help to reduce poverty while improving the effectiveness of wildlife conservation, in particular the reduction of IWT. However, given the short duration of the project it is difficult at this stage to determine the long-term impact on poverty alleviation.

8. Consideration of gender equality issues

The project activities have been implemented with consideration of gender aspects. During fieldwork separate discussions were organised with women's groups to understand their unique perspectives and experiences. Gender-specific differences have been noted in the subsequent case studies and the revised ToCs. One key finding was the tendency for women to be less aware of the benefits accruing to the conservancy from wildlife but more aware of where such benefits would best be targeted to achieve the desired outcomes. Some of these issues were summarised in the presentations at the Olderkesi-Kilitome and KWCA workshops (see reports: https://www.iucn.org/sites/dev/files/content/documents/kwca_summary_workshop_report_final.pdf and https://www.iucn.org/sites/dev/files/content/documents/olderkesi_kilitome_workshop_summary_report_final.pdf

9. Monitoring and evaluation

Monitoring of progress against the project logframe has largely been done through regular team meetings - either face to face or via Skype. The project team has also used a GANTT chart as a means to ensure that the project is on track. This system has worked well so far and the team has been able to keep the project activities on track as discussed in earlier sections of this report.

The project is in itself an M&E activity built on a continuous process of iterative and adaptive learning by the project partners together with the local communities. As described elsewhere in this report, the project methodologies and the ToCs have evolved throughout the project based on information collected through the action research process. The ToCs are dynamic and future monitoring by the site-level partners may lead to new iterations based on changing circumstances.

10. Lessons learnt

A useful strategy adopted has been to assign a lead team member to work on different project activities and/or outputs. This has helped to keep the project on track and increased a sense of responsibility and accountability among the partners.

The project will develop a toolkit to guide others in implementing similar research activities. This should considerably help reduce the time it takes to plan, design and implement the target group exercises, key informant interviews and stakeholder consultations.

11. Actions taken in response to previous reviews (if applicable)

Not applicable.

12. Other comments on progress not covered elsewhere

We have significantly improved the implementation of this project through the iterative learning approach we have taken. Our approach has been highly adaptive and we have taken every lesson and turned it into a new, revised, improved intervention the next time round. We have discovered that a major strength of the action research approach is its ability to quickly capture, articulate and integrate the differences in perspective of the different stakeholders. We had also refined our approach to more thoroughly articulate and test the assumptions underpinning people's belief systems which we believe are key in understanding what is likely to work or not work in a given situation.

13. Sustainability and legacy

Even at the mid-point, the project has already demonstrated "proof of concept" for the approach. A number of other conservancies and conservancy associations in Kenya have approached IUCN expressing an interest in applying the action research approach at their conservancies. Responding to this interest IUCN ESARO has leveraged additional funds from the US Department of the Interior International Technical Assistance Programme to include the Shompole-Olkoramatian group ranch as the third project pilot site. The support from the US government came as a result of regular meetings with USAID (who also attended the project inception workshop) and USDOJ to discuss the project.

34 additional conservancies were exposed to the project objectives and methodologies during the KWCA network meeting in March 2017, which was useful in raising the profile of this project. IUCN ESARO has set up a dedicated webpage for the project:

<https://www.iucn.org/regions/eastern-and-southern-africa/our-work/conservation-areas-and-species/communities-first-line-defence-against-illegal-wildlife-trade>

USAID has adopted the approach for their new programme to combat IWT in southern Africa. A great number of presentations have been given and side events have been organised to

disseminate information about the approach to global audiences (e.g. see Section 2 of this report.)

The exit strategy for this project is still valid: its focus is on developing and disseminating practical guidance that can be employed by policy makers and practitioners in Kenya and internationally, rather than on implementing field based projects which require on-going donor support. The guidance material produced will be freely available for all to freely download and use to train trainers as and where required.

It is expected that at the project's end point, the case study initiatives will have been able to strengthen their community engagement practices but these are not reliant on the IWT Challenge Fund for their ongoing activities and have their own sources of funding.

14. IWT Challenge Fund Identity

We have acknowledged the IWT Challenge Fund and the UK Government in all project outputs, the project website and in all the national and international presentations that have been described above.

15. Project expenditure

Table 1: Project expenditure during the reporting period (April 2016-March 2017)

Project spend (indicative) since last annual report	2016/17 Grant (£)	2016/17 Total actual IWT Costs (£)	Variance %	Comments (please explain significant variances)
Staff costs (see below)				
Consultancy costs				
Overhead Costs				
Travel and subsistence				
Operating Costs				
Capital items (see below)				
Others (see below)				
TOTAL				

¹The under expenditure in the travel and subsistence budget line is due to the fact that we were able to co-fund the KWCA workshop with KWCA who had funding from other sources. We also opted to hold the workshop to share lessons with and between the Kilitome and Olderkesi workshops in Amboseli and not Nairobi which turned out to be significantly cheaper.

16. **OPTIONAL: Outstanding achievements of your project during the reporting period (300-400 words maximum). This section may be used for publicity purposes**

Annex 1: Report of progress and achievements against Logical Framework for Financial Year 2016-2017

Project summary	Measurable Indicators	Progress and Achievements April 2016 - March 2017	Actions required/planned for next period
<p>Impact</p> <p>More effective and widespread community engagement in tackling IWT resulting in reduction in pressure on African elephant populations and increased benefits from improved wildlife stewardship.</p>		<p>The project has begun developing a toolkit for effective community engagement in developing site-specific ToCs.</p> <p>The project has generated new insights on the importance of communities receiving sufficient benefits (both financial and non-financial/tangible and intangible) from wildlife and effective and equitable sharing of these.</p> <p>The project has generated lessons the role of alternative non-wildlife based livelihood strategies in reducing poaching pressure on elephants.</p> <p>The project results are drawing attention to the tangible and intangible costs of living with elephants and other wildlife. It is generating recommendations on how such costs could be reduced and pointing out key policy issues needed to address the wildlife-induced costs to local communities</p> <p>The project has catalyzed a tremendous amount of interest from other conservation partners, including community based organizations and donors to adopt the project methodologies and approach. Additional funds have been leveraged to further expand this work in Kenya.</p>	
<p>Outcome</p> <p>The conditions for stronger engagement of local communities to combat - rather than participate in - IWT in African elephants while positively contributing to local livelihoods is better understood and forms the basis of practical guidance for anti-IWT policy and programme development in Kenya (and beyond).</p>	<p>Indicator 1: By the end of the first year existing community engagement initiatives in Kenya have been assessed against a draft ToC and a modified situational crime prevention framework¹ to understand the causal pathways upon which their IWT impacts are</p>	<p>Indicator 1: Field work has been completed at both pilot sites. Initial framework ToC has been validated. Site-specific theories of change have been developed using the initial framework ToC. Lessons learned have been shared with key stakeholders and articulated in more detail in draft case studies.</p>	<ol style="list-style-type: none"> 1. Finalise and disseminate case studies that articulate lessons learned and site-specific ToCs 2. Finalise and disseminate guidance, briefing note, toolkit

	<p>based.</p> <p>Indicator 2: By the end of the project practical guidance is available in multiple languages to strengthen existing and new community engagement initiatives.</p> <p>Indicator 3: By the end of project guidance is widely disseminated internationally.</p> <p>¹The ToC is informed by situational crime prevention (SCP) theory. SCP recognizes that any individual is capable of committing an offense at any time if the opportunity arises, and that the likelihood of the opportunity arising is completely context specific.⁴ SCP is based on five key principles: increase the effort, increase the risks, reduce the rewards, reduce provocation, and remove excuses. While the four pathways in our ToC do not directly mirror these principles, many of the strategies that underlie each of the SCP principles are reflected in the pathways, particularly in terms of Pathway A on increasing the disincentives for illegal activities and Pathway C on reducing the costs of living with wildlife. Our ToC however goes beyond SCP to also explicitly focus on positive incentives for “good behaviour” (wildlife stewardship and alternative livelihoods).</p>	<p>Indicator 2. Guidance is under development. A comprehensive toolkit for action research is being developed.</p> <p>Indicator 3: on track.</p>	
<p>Output 1. Two case studies of existing community engagement projects, analysed against a modified situational crime prevention framework and theory of change.</p>	<p>1. (Indicator 1) By June 2016 methodology for case studies finalised and agreed with partners and logistical arrangements in place.</p>	<p>1. Completed</p>	

	<p>2. (Indicator 2) By December 2016 case study fieldwork and analysis completed.</p> <p>3. (Indicator 3) By February 2017 case study report completed.</p>	<p>2. Completed – see workshop report https://www.iucn.org/sites/dev/files/content/documents/olderkesi_kilitome_workshop_summary_report_final.pdf</p> <p>3. Draft case study reports have been produced and are being finalised</p>
Activity 1.1 Methodology developed and logistical arrangements completed.		Completed
Activity 1.2 Inception workshop conducted.		Completed. See report: https://www.iucn.org/sites/dev/files/content/documents/report_inception_workshop.pdf
Activity 1.3 Interviews and focus group discussions conducted at first case study site.		Completed
Activity 1.4 Presentation of objectives, methods and preliminary findings presented at the World Conservation Congress in September 2016.		Completed
Activity 1.5 Fieldwork at second case study site.		Completed
Activity 1.6 Case study analysis and report writing.		To be finalised in Year 2
<p>Output 2. Revised Theory of Change - based on case studies conducted and comparable lessons from other conservancy initiatives.</p>	<p>Indicator 1: By April 2017, case study lessons presented to members of KWCA and comparable experiences from other conservancies collected.</p> <p>Indicator 2: By July 2017 revised Theory of Change produced and disseminated.</p>	<p>1. Completed. See report on: https://www.iucn.org/sites/dev/files/content/documents/kwca_summary_workshop_report_final.pdf</p> <p>2. Completed. Post-inception workshop ToC produced. Site-specific theories of change produced for both pilot sites and shared with stakeholders; analysed in draft case studies</p>
Activity 2.1 Meeting conducted to compare findings from two case studies.		<p>1. Completed. https://www.iucn.org/sites/dev/files/content/documents/olderkesi_kilitome_workshop_summary_report_final.pdf</p>
Activity 2.2 Workshop carried out with KWCA members to collect additional experiences from other conservancy sites and identify key policy recommendations.		<p>2. Completed. https://www.iucn.org/sites/dev/files/content/documents/kwca_summary_workshop_report_final.pdf</p>
Activity 2.3 Comparison of experience with project in Zimbabwe (provided the project "Incentives and disincentives: combating IWT		<p>3. Proposed project not funded. Activity not conducted.</p>

in the southeast Lowveld, Zimbabwe" proposed to IWTCF funded).		
Activity 2.4 Analysis of experience and revision of ToC.		4. Partially completed. Case studies to be completed in Year 2
Output 3. Guidance on designing and strengthening community engagement projects in the context of IWT.	<ol style="list-style-type: none"> 1. Indicator 1: By October 2017 first draft of guidance produced and disseminated for feedback. 2. Indicator 2: By February 2017 final version of guidance agreed and published. 3. Indicator 3: By March 2018 guidance material translated into French and Portuguese. 4. Indicator 4: By end of project all guidance materials posted on the project partners' websites and widely disseminated through IIED, IUCN and SULi networks. 	<ol style="list-style-type: none"> 1. Will be completed in Year 2 2. Will be completed in Year 2 3. Will be completed in Year 2 4. Will be completed in Year 2
Activity 3.1 Production of draft guidance document.		Will be completed in Year 2
Activity 3.2 Peer review of guidance document.		Will be completed in Year 2
Activity 3.3 Production of final guidance document.		Will be completed in Year 2
Activity 3.4 Production of briefing paper based on guidance document.		Will be completed in Year 2
Activity 3.5 Translation of outputs into French and Portuguese.		Will be completed in Year 2

Activity 3.6 Dissemination of outputs via project partner websites and networks	Will be completed in Year 2
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Annex 2: Project's full current logframe as presented in the application form (unless changes have been agreed)

N.B. if your application's logframe is presented in a different format in your application, please transpose into the below template. Please feel free to contact IWT-Fund@ltsi.co.uk if you have any questions regarding this.

Project summary	Measurable Indicators	Means of verification	Important Assumptions
Impact: More effective and widespread community engagement in tackling IWT resulting in reduction in pressure on African elephant populations and increased benefits from improved wildlife stewardship.			
<p>Outcome:</p> <p>The conditions for stronger engagement of local communities to combat - rather than participate in - IWT in African elephants while positively contributing to local livelihoods is better understood and forms the basis of practical guidance for anti-IWT policy and programme development in Kenya (and beyond).</p>	<p>Indicator 1: By the end of the first year existing community engagement initiatives in Kenya have been assessed against a draft ToC and a modified situational crime prevention framework to understand the causal pathways upon which their IWT impacts are based.</p> <p>Indicator 2: By the end of the project practical guidance is available in multiple languages to strengthen existing and new community engagement initiatives.</p> <p>Indicator 3: By the end of project guidance is widely disseminated internationally.</p>	<p>Indicator 1: One methodology report, one case study report, presentations, meeting reports and workshop reports.</p> <p>Indicator 2: Guidance document available in French, English, Portuguese Briefing paper with key messages from project produced and translated into French and Portuguese.</p> <p>Indicator 3: Briefing paper with key messages from project produced and translated into French and Portuguese.</p> <p>Indicator 4: Briefing paper and key messages from project circulated through list serves, international presentations and project partner websites.</p>	<p>Assumption 1: Useful lessons can be learned from the case studies.</p> <p>Assumption 2: The lessons learned from the Kenyan case studies and the ToC lend themselves to the development of practical guidance that has broad applicability.</p> <p>Assumption 3: The guidance, once developed, is useful to IWT policy makers and programme makers and influences their decisions.</p>
<p>Output 1</p> <p>Two case studies of existing community engagement projects, analysed against a modified situational crime prevention framework and theory of change.</p>	<p>1.1 By June 2016 methodology for case studies finalised and agreed with partners and logistical arrangements in place.</p> <p>1.2 By December 2016 case study fieldwork and analysis completed.</p> <p>1.3. By February 2017 case study report</p>	<p>1.1 Case study report and methodology posted on project partners websites.</p>	<p>Assumption 1.1</p> <p>Case study project partners continue to stay engaged with project and community representatives in each case study site are willing to provide information.</p>

	completed.		
Output 2 Revised Theory of Change - based on case studies conducted and comparable lessons from other conservancy initiatives.	2.1 By April 2017, case study lessons presented to members of KWCA and comparable experiences from other conservancies collected. 2.2 By July 2017 revised Theory of Change produced and disseminated.	2.1 Final ToC posted on project partners websites.	Assumption 2.1 Causal pathways can be determined from the case studies and other conservancy experiences and a robust ToC agreed.
Output 3 Guidance on designing and strengthening community engagement projects in the context of IWT.	3.1 By October 2017 first draft of guidance produced and disseminated for feedback. 3.2 By February 2017 final version of guidance agreed and published. 3.3 By March 2018 guidance material translated into French and Portuguese. 3.4 By end of project all guidance materials posted on the project partners' websites and widely disseminated through IIED, IUCN and SULi networks.	3.1 Guidance material available in English, French and Portuguese posted on project partners websites.	Assumption 3.1 The lessons learned from the Kenyan case studies and the ToC lend themselves to the development of practical guidance that has broad applicability.

Activities (each activity is numbered according to the output that it will contribute towards, for example 1.1, 1.2 and 1.3 are contributing to Output 1)

Activity 1.1 Methodology developed and logistical arrangements completed.

Activity 1.2 Inception workshop conducted.

Activity 1.3 Interviews and focus group discussions conducted at first case study site.

Activity 1.4 Presentation of objectives, methods and preliminary findings presented at the World Conservation Congress in September 2016.

Activity 1.5 Fieldwork at second case study site.

Activity 1.6 Case study analysis and report writing.

Activity 2.1 Meeting conducted to compare findings from two case studies.

Activity 2.2 Workshop carried out with KWCA members to collect additional experiences from other conservancy sites and identify key policy recommendations.

Activity 2.3 Comparison of experience with project in Zimbabwe (provided the project "Incentives and disincentives: combating IWT in the southeast Lowveld, Zimbabwe" proposed to IWTCF funded).

Activity 2.4 Analysis of experience and revision of ToC.

Activity 3.1 Production of draft guidance document.

Activity 3.2 Peer review of guidance document.

Activity 3.3 Production of final guidance document.

Activity 3.4 Production of briefing paper based on guidance document.

Activity 3.5 Translation of outputs into French and Portuguese.

Activity 3.6 Dissemination of outputs via project partner websites and networks.

Annex 3 Standard Measures

In future years it is our intention to develop a series of standard measures in order to collate some of the quantitative measures of activity, input and output of IWT projects. These will not be measures of the impact or effectiveness of IWT projects but will contribute to a longer term dataset for Defra to draw upon. The collection of standard measures data will be important as it will allow us to understand the combined impact of all the UK Government funded Challenge Fund projects. This data will therefore provide useful information for the Defra Secretariat and for Defra Ministers regarding the Challenge Fund.

The standard measures for the IWT Challenge Fund are currently under development and it is therefore not necessary, at present, to complete this Annex. Further information and guidance about the IWT standard measures will follow.

Annex 4 Onwards – supplementary material

Checklist for submission

	Check
Is the report less than 10MB? If so, please email to IWT-Fund@ltsi.co.uk putting the project number in the subject line.	✓
Is your report more than 10MB? If so, please discuss with IWT-Fund@ltsi.co.uk about the best way to deliver the report, putting the project number in the subject line.	
Have you included means of verification? You need not submit every project document, but the main outputs and a selection of the others would strengthen the report.	✓
Do you have hard copies of material you want to submit with the report? If so, please make this clear in the covering email and ensure all material is marked with the project number.	
Have you involved your partners in preparation of the report and named the main contributors	✓
Have you completed the Project Expenditure table fully?	✓
Do not include claim forms or other communications with this report.	